

Responsible Conduct of Research Policy

1. PURPOSE

To describe the principles for the responsible conduct of research, and the consequences of failing to follow those principles.

2. POLICY STATEMENT

This policy is based on The Australian Code for the Responsible Conduct of Research (**The Code**) and will be read in conjunction with The Code.

The University's standards of professional behaviour are set out in Curtin University's Code of Conduct (**Code of Conduct**) which is a statement that provides clarity and guidance about ethical behaviour and how parties to the Code of Conduct are expected to conduct themselves at all time.

2.1. Categories for complaints or allegations

The following categories are recognised when complaints or allegations related to research are received:

2.1.1 Failure to implement The Code

Failure to take responsibility for achieving the standards aspired to in Part A of The Code.

2.1.2 Breaches of The Code

Specific actions or omissions that constitute breaches of The Code, but lack the seriousness of consequence or wilfulness to constitute research misconduct.

Repetition or continuation may constitute research misconduct.

2.1.3 Research Misconduct

Serious breaches of The Code that are sufficiently substantial to warrant formal allegation, investigation, and denial or admission.

2.2. Research Misconduct

2.2.1 A complaint or allegation relates to research misconduct if it involves:

- (a) An alleged breach to The Code;
- (b) Intent and deliberation, recklessness or gross and persistent negligence;
- (c) Serious consequences, such as false information on the public record, or adverse effects on research participants, animals or the environment.

2.2.2 Research misconduct may include, but is not limited to, the following examples:

- (a) Fabrication of results
- (b) Falsification or misrepresentation of results
- (c) Plagiarism
- (d) Misleading ascription of authorship
- (e) Failure to declare and manage serious conflicts of interest
- (f) Falsification or misrepresentation to obtain funding
- (g) Conducting research without ethics approval
- (h) Risking the safety of human participants, or the wellbeing of animals or the environment
- (i) Deviations from The Code that occur through gross or persistent negligence
- (j) Wilful concealment or facilitation of research misconduct by others

2.2.3 Research misconduct does not include honest differences in judgment in the management of a research project, and may not include honest errors that are minor or unintentional.

- 2.2.4 Potential research misconduct will be reported and dealt with in accordance with the *Responsible Conduct of Research Procedures (forthcoming)*.
- 2.2.5 Research misconduct may also be considered misconduct or serious misconduct as described in the [Curtin University Academic, Professional and General Staff Enterprise Agreement](#) for staff and [Statute No. 10 – Student Disciplinary Statute](#) for students.

3. RESPONSIBILITY FOR IMPLEMENTATION, COMPLIANCE MONITORING, MEASURING AND CONTINUAL IMPROVEMENT

Responsibilities are outlined in Part B, section 11 of The Code. These management positions are responsible for implementation and compliance monitoring of the policy in their work areas:

3.1 Researchers

- 3.1.1 Resolving allegations of breaches of The Code and research misconduct
- 3.1.2 Reporting suspected research misconduct

3.2 Research Supervisors

- 3.2.2 Resolving allegations of breaches of The Code and research misconduct
- 3.2.2 Reporting suspected research misconduct

3.3 Line managers, Heads of Schools/Research Centres, Deans of Research, Pro Vice-Chancellors

- 3.3.1 Resolving allegations of breaches of The Code and research misconduct
- 3.3.2 Reporting suspected research misconduct

3.4 Integrity and Standards Unit

- 3.4.1 Receive complaints and allegations of research misconduct

3.5 Research Integrity Advisers

- 3.5.1 Advise those making, or considering making, allegations

3.6 Manager, Reporting & Compliance, Research Integrity

- 3.6.1 Provide training on research integrity

3.7 Designated person (Deputy Vice-Chancellor, Research)

- 3.7.1 Conducts a preliminary investigation to assess the allegations and provides advice to the CEO or their delegated officer

3.8 Chief Executive Office (Vice-Chancellor) or their delegated officer

- 3.8.1 Overall responsibility for the process unless otherwise delegated

4. SCOPE OF POLICY

This policy applies to all current and former University staff and students.

5. DEFINITIONS

(Note: Commonly defined terms are located in the [Curtin Common Definitions](#). Any defined terms below are specific to this document)

Nil

6. SUPPORTING PROCEDURES

[Responsible Conduct of Research Procedures](#)

7. RELATED DOCUMENTS/LINKS

Internal

[Curtin University Academic, Professional and General Staff Enterprise Agreement](#)

[Curtin University's Code of Conduct](#)

[Responsible Conduct of Research Procedures](#)

[Statute No. 10 – Student Disciplinary Statute](#)

External

[The Australian Code for the Responsible Conduct of Research](#)

[Singapore Statement](#)

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Policy Manager	Deputy Vice-Chancellor, Research
Approval Authority	Academic Board
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REVISION HISTORY

Version	Approved/ Amended/ Rescinded	Date	Committee / Board / Executive Manager	Approval / Resolution Number	Key Changes and Notes
New	Approved	28/08/2015	Academic Board	AB 135/15	Attachment D to Item 14.3
	Administratively Updated	06/10/2015	Director, Legal and Compliance Services	EC 76/15	Executive Manager Title Changes